

**Project Name:** Principal Apportionment Software Evaluation and Rewrite

**OCIO Project #:** Not Yet Assigned

**Department:** California Department of Education

**Revision Date:** 9/22/09

## Concept Statement

### Description

**Brief description of the proposed project:**

California Department of Education (CDE) is proposing to evaluate and re-write the current Integrated Apportionment System (IAS). The new system would duplicate current IAS abilities while adding much needed functionality such as reconciliation and reporting, file export and import processes, while minimizing or eliminating impact on clients when rolling out new functionality and manual interventions in the apportionment process.

### Need Statement

**High Level Functional Requirements:**

Three times each year, as part of the Principal Apportionment, the CDE calculates \$40 billion in Local Education Agency (LEA) entitlements and certifies the apportionment of more than \$28 billion in state aid. The Principal Apportionment includes several funding calculations, such as Revenue Limits, Charter General Purpose and Categorical Block Grants, and Special Education (AB602) funding. The CDE uses the IAS to calculate the apportionment and to collect data from LEAs and County Auditors that are essential to perform the calculations.

**What is Driving This Need?**

The IAS was built on older technology. The IAS still lacks needed functionality, such as reconciliation and reporting features. The file export and import process should be enhanced to eliminate the remaining amount of manual intervention by the CDE. Any system changes must be made twice: once to the field software application and once to the in-house application.

**Risk to the Organization if This Work is Not Done:**

The apportionment system must ensure accurate and timely apportionments and to avoid putting the State at risk of violating statutory provisions or over- or under-funding LEAs. Since Microsoft no longer supporting the program as of April 2008, critical support is not available, such as updates or security fixes. Additional problems could occur in the future as operating systems and processor bit-levels change.

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### Benefit Statement

#### Intangible Benefits

**Process Improvements** (describe the nature of the process improvement):

The Integrated Apportionment System has several data collection components that must be installed at remote county offices of education, school districts, and charter schools. The installation process is complex and difficult. With a new web-base interface, the complexity of the development of the software and technical difficulties would be eliminated. A new platform would incorporate the speed, flexibility, and interactive capabilities of the Internet.

**Other Intangible Benefits:**

The new platform would offer flexibility in design and implementation, thus making it suitable for almost any business application that utilizes desktop computing. The Apportionment System consists of a highly dynamic set of business processes, and the added design flexibility would enable TSD to provide improved levels of technical assistance for maintaining and updating the business and technical requirements.

#### Tangible Benefits

**Revenue Generation** (describe how revenue will be generated):

None

**Cost Savings** (describe how cost will be reduced):

Much staff time is used to prepare data before importing it into the database as well as resolving client software errors by attempting to recreate the errors happening on the remote workstation. By forcing the LEA data validation to be handled by the web browser, LEAs would be responsible for resolving data problems and providing data which requires little alteration by technical staff and is automatically imported into the database. Web technology co-locates the application functionality and its associated problems with technical staff which reduces LEA's participation in problem resolution as well as technical staff.

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**Cost Avoidance** (describe the cost and how avoided):

None


**Risk Avoidance** (describe the risk and how avoided):

Microsoft no longer supports the program, which means that it will no longer provide critical support, such as updates or security fixes. Additional problems could occur in the future as operating systems and processor bit-levels change. If this happens, LEAs may not be able to use the CDE software. If this happens and the LEAs are unable to use the CDE supplied software to collect the information needed to allocate the funding to the LEAs, CDE would need to update or replace the current system to give the LEAs the capability to access the software from the internet.

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**Improved Services:**

### Consistency

"No" Responses 		Rationale	Action Required
Enterprise Architecture	Yes	Consistent with the 2009 Enterprise Architecture.	None
Business Plan	No	Currently, CDE does not have a Business Plan.	None
Strategic Plan	Yes	Meets goals of 2001 Information Technology Strategic Plan.	None

### Impact to Other Agencies

#### Nature of Impact to Other Agencies

**Agency:**

*Describe the nature of the impact:*

None

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**Agency:**

*Describe the nature of the impact:*

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### Solution Alternatives

#### Alternative 1:

The CDE proposed a project to update or replace the existing software and build out the capacity of the Integrated Apportionment System (IAS). The project would update the existing system, which is out of date and no longer supported. A new updated system, would allow the LEAs to submit their data through a more efficient system. A new platform would improve the efficiency of the submission of data from county offices of education, school districts, and charter schools.

#### Technical Considerations for Alternative 1:

None

ROM Cost: \$8,000,000 to \$12,000,000

Note: high end of range must not exceed 200% of low end of range

#### Alternative 2:

None

#### Technical Considerations for Alternative 2:

ROM Cost: to

Note: high end of range must not exceed 200% of low end of range

#### Alternative 3:

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### Technical Considerations for Alternative 3:

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ROM Cost: to

Note: high end of range must not exceed 200% of low end of range

## Recommendation

### Comparison:

Alternative 1	ROM Cost			Risk
Replace existing IAS system	\$8,000,000	-	\$12,000,000	May be not funded because of the economic crisis.
Alternative 2	ROM Cost			Risk
	\$0	-	\$0	
Alternative 3	ROM Cost			Risk
	\$0	-	\$0	

### Conclusions:

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2	
3	
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### Recommendation:

Move forward on feasibility study including a review of the current system. This will provide options to meet programmatic needs. Without skilled focused time to do additional analysis, reasonable options and costs will be difficult to identify.

### Project Approach (if known)

<b>System Complexity:</b>			System Business Hours: (e.g., 24x7, 9am-5pm) :		
Architecture	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Client Server	<input checked="" type="checkbox"/> Web Based		Num. of New Databases:
Technology	<input type="checkbox"/> New	<input type="checkbox"/> New to Staff	<input checked="" type="checkbox"/> In-House Experience		Interfaces:
Implementation	<input checked="" type="checkbox"/> Central Site	<input type="checkbox"/> Phased Roll-out			Num. of Sites:
M & O Support	<input type="checkbox"/> Contractor	<input type="checkbox"/> Data Center	<input type="checkbox"/> Project	<input checked="" type="checkbox"/> In House	
Procurement Approach:					Number of Procurements:
Open Procurement?			Delegated Procurement?		
Scope of Contract	<input type="checkbox"/> Development	<input type="checkbox"/> Implementation	<input type="checkbox"/> M & O	<input type="checkbox"/> Other:	
Anticipated Length of Contract:			Years / extensions for years		